

PATENT
Attorney Docket No. NMT-013
(9134/18)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Carpenter et al.
SERIAL NO.: Not yet assigned GROUP NO.: Not yet assigned
FILING DATE: Herewith EXAMINER: Not yet assigned
TITLE: Front-End Loader for Prosthetic Occluders and Methods Thereof

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the references (A1-A11) are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

It is respectfully requested that each of the patents listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

STATEMENT

As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that:

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Respectfully submitted,

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FORM PTO - 1449				ATTORNEY DOCKET NO.: NMT-013					
INFORMATION DISCLOSURE STATEMENT				APPLICANTS: Carpenter et al.					
				SERIAL NO.: Not Yet Assigned					
				FILING DATE: Herewith GROUP: Not Yet Assigned					
U.S. PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE		
	A1	4,655,226	04/07/87	Lee	128	754	12/20/84		
	A2	4,921,479	05/01/90	Grayzel	604	53	10/02/87		
	A3	5,125,902	06/30/92	Berry et al.	604	164	03/02/90		
	A4	5,486,193	01/23/96	Bourne et al.	606	194	05/01/95		
	A5	5,626,599	05/06/97	Bourne et al.	606	194	05/01/1995		
	A6	5,649,950	07/22/97	Bourne et al.	606	194	05/01/95		
	A7	5,843,028	12/01/98	Weaver et al.	604	54	08/30/96		
	A8	5,846,261	12/08/98	Kotula et al.	606	213	09/08/97		
	A9	6,206,871 B1	03/27/01	Zanon et al.	604	891.1	05/27/97		
	A10	6,217,566 B1	04/17/01	Ju et al.	604	526	10/02/97		
	A11	6,332,877 B1	12/25/01	Michels	604	263	05/12/98		
FOREIGN PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
OTHER ART, JOURNAL ARTICLES, ETC.									
EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)								
EXAMINER					DATE CONSIDERED				